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Substitute for form 1449A/PTO  
(Modified by BSTZ 6/30/99)INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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SEP 28 2001  
JSC

## Complete if Known

Application Number	09/733,767
Filing Date	December 8, 2000
First Named Inventor	Joseph Seamon
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 1 of 8 Attorney Docket Number 003801.P036

## U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
HT	3,581,072	Nymayer	5/25/1971	3/28/1968
	3,573,747	Adams, et al.	4/6/1971	2/24/1969
	4,412,287	Braddock, III	10/25/1983	9/15/1982
	4,674,044	Kalmus, et al.	4/16/1997	1/30/1985
	4,677,552	Sibley, Jr.	6/30/1987	10/5/1984
	4,789,928	Fujisaki	12/6/1988	1/30/1987
	4,799,156	Shavit, et al.	1/17/1989	10/1/1986
	4,823,265	Nelson	4/18/1989	5/11/1987
	4,903,201	Wagner	2/20/1990	11/3/1983
	5,063,507	Lindsey, et al.	11/5/1991	9/14/1990
	5,077,665	Sliverman, et al.	12/31/1991	5/25/1989
HT	5,101,353	Lupien, et al.	3/31/1992	5/31/1989

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Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
HT	PCT	WO 92/15174	2/25/1992	Beaumont-Maxin International	9/3/1992	
HT	PCT	WO 96/34356	4/26/1996	Fleanet, Inc.	10/31/1996	
HT	PCT	WO 97/37315	3/19/1997	Onsale, Inc.	10/9/1997	

## OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
HT	MALONE, T.W.; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6.	
HT	WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
HT	"Personal Optimized Decision/Transaction Program", <u>IBM Technical Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1	
HT	NEO, B.S, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1	

Examiner Signature	Handwritten	Date Considered	02/20/03
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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of

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Group Art Unit	Unknown
Examiner Name	Unknown

Attorney Docket Number

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			MM-DD-YYYY	
HT	5,136,501	Silverman, et al.	8/4/1992	5/26/1989
	5,168,446	Wiseman	12/1/1992	5/23/1989
	5,243,515	Lee	9/7/1993	10/30/1990
	5,258,908	Hartheimer, et al.	11/2/1993	11/2/1990
	5,280,422	Moe, et al.	1/18/1994	11/5/1990
	5,297,031	Guterman, et al.	3/22/1994	3/6/1990
	5,297,032	Trojan, et al.	3/22/1994	2/1/1991
	5,305,200	Hartheimer, et al.	4/19/1994	11/2/1990
	5,325,297	Bird, et al.	6/28/1994	6/25/1992
	5,329,589	Fraser, et al.	7/12/1994	6/3/1993
	5,375,055	Togher, et al.	12/20/1994	2/3/1992
HT	5,394,324	Clearwater	2/28/1995	12/8/1993

## FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	Translation? Yes/No
	Office or Country	Number	Date			
HT	Netherland	9300266	2.10.1993			No
HT	France	2658635-A1	2.6.1991			
HT	Canada	2,253,543	3/19/1997			Yes

## OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
HT	ROCKOFF, T.E; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16.	
HT	MASSIMB, M.N; PHELPS, B.D, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50.	
HT	POST, D.L; COPPINGER, S.S, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10, No. 3.	
HT	HESS, C.M; KEMERER, C.F., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274.	

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Date Considered

02/20/03

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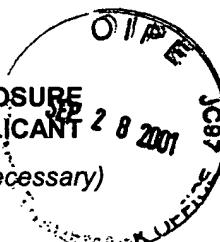
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Sheet **3** of **8**

**Complete if Known**

Application Number	09/733,767
Filing Date	December 8, 2000
First Named Inventor	Joseph Seamon
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	003801.P036

**U.S. PATENT DOCUMENTS**

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
AT	5,426,281	Abecassis	6/20/1995	10/29/1993
	5,553,145	Micali	9/3/1996	8/4/1995
	5,640,569	Miller, et al.	6/17/1997	4/28/1995
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	5,689,652	Lupien, et al.	11/18/1997	4/27/1995
	5,710,889	Clark, et al.	1/20/1998	6/7/1995
	5,715,402	Popolo	2/3/1998	11/9/1995
	5,717,989	Tozzoli, et al.	2/10/1998	10/13/1994
	5,727,165	Ordish, et al.	3/10/1998	12/27/1994
	5,794,219	Brown	8/11/1998	2/20/1996
	5,818,914	Fujisaki	10/6/1998	3/27/1995
AT	5,826,244	Huberman	10/20/1998	8/23/1995

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AT	PCT	WO99/63461	12/9/1999			
	PCT	WO95/17711	6/29/1995			

**OTHER DOCUMENTS**

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
AT	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21.	
AT	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technical Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3.	
AT	LEE, Ho G., "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV.	
AT	CLEMONS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12.	

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*Hawthorne*

Date Considered

*02/20/03*

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First Named Inventor	Joseph Seamon
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 4 of 8 Attorney Docket Number 003801.P036

## U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document	Filing Date if Appropriate
			MM-DD-YYYY	
HT	5,835,896	Fisher, et al.	11/10/1998	3/29/1996
HT	5,845,266	Lupien, et al.	12/1/1998	12/12/1995
	5,850,442	Muftic	12/15/1998	3/26/1996
	4,864,516	Gathier, et al	9/5/1989	3/10/1986
	5,205,200	Wright	4/27/1993	1/9/1992
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	5,557,728	Garrett, et al.	9/17/1996	11/22/1994
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	5,657,389	Houvener	8/12/1997	5/8/1995
	5,694,546	Reisman	12/2/1997	5/21/1994
	5,706,457	Dwyer, et al.	1/6/1998	6/7/1995
HT	5,715,314	Payne, et al.	2/3/1998	10/24/1994

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## OTHER DOCUMENTS

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HT	MARDESICH, J., "Onsale takes auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32.	
HT	"Onsale joins fray as online shopping picks up speed: INTERNET BOOMS", <u>Computer Reseller News</u> , June 5, 1995, Page 73 ( <a href="http://www.dialogweb.com">www.dialogweb.com</a> ).	
HT	SIEGMANN, Ken, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42 ( <a href="http://www.dialogweb.com">www.dialogweb.com</a> ).	
HT	"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, (pp 3) Dialog Web. 0489267 BW0022.	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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SEP 28 2001  
U.S. PATENT & TRADEMARK OFFICE

Application Number	09/733,767
Filing Date	December 8, 2000
First Named Inventor	Joseph Seamon
Group Art Unit	Unknown
Examiner Name	Unknown
Sheet	5
of	8
Attorney Docket Number	003801.P036

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
HT	5,771,380	Tanaka, et al.	6/23/1998	10/7/1996
HT	5,771,291	Newton, et al.	6/23/1998	12/11/1995
	5,799,285	Klingman	8/25/1998	8/30/1996
	5,803,500	Mossberg	9/8/1998	3/27/1997
	5,845,265	Woolston	12/1/1998	11/7/1995
	5,872,848	Romney, et al.	2/16/1999	2/18/1997
	5,873,069	Reuhl, et al.	2/16/1999	10/13/1995
	5,884,056	Steele	3/16/1999	12/28/1995
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	5,905,974	Fraser, et al.	5/18/1999	12/13/1996
	5,905,975	Aussubel	5/18/1999	1/2/1997
HT	5,922,074	Richard, et al.	7/13/1999	2/28/1997

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OTHER DOCUMENTS

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HT	SCHMID, B.F., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No. 9/10.	
HT	TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", Norwegian Computing Center, No Date Given, <a href="http://www.nr.no/gem/elcom/publikasjoner/enter98e.html">www.nr.no/gem/elcom/publikasjoner/enter98e.html</a> .	
HT	GRAHAM, I., "The Emergence of Linked Fish Markets in Europe", <u>Focus Theme</u> , No Date Given.	
HT	RECK, Martin, "Trading-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given.	

Examiner Signature	Hanklhou	Date Considered	02/20/03
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Examiner Name	Unknown
Attorney Docket Number	003801.P036

Sheet 6 of 8

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HT	5,926,794	Fethe	7/20/1999	3/6/1996
HT	5,991,739	Cupps, et al.	11/23/1999	11/24/1997
	6,035,402	Vaeth, et al.	3/7/2000	12/20/1996
	6,044,363	Mori, et al,	3/28/2000	9/2/1997
	6,055,518	Franklin, et al.	4/25/2000	11/12/1996
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	6,073,117	Oyanagi, et al.	6/6/2000	3/13/1998
	6,104,815	Alcorn, et al.	8/16/2000	1/9/1998
	5,715,314	Payne, et al,	2/3/1998	10/24/1994
	5,722,418	Bro	3/3/1998	9/30/1994
	5,799,285	Klingman	8/25/1998	8/30/1996
HT	5,803,500	Mossberg	9/8/1998	3/27/1997

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HT	VAN HECK, E.; RIBBERS, P.M., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given.	
HT	LEE, H.G., "AUCNET: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given.	
HT	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given	
HT	TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given.	

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		Group Art Unit	Unknown
		Examiner Name	Unknown
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		Attorney Docket Number	003801.P036

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HT	ZWASS, Vladimir, "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol, 1, No. 1, pp 3-23 (www.cba.bgsu.edu).	
HT	PRIEST, Chris; van TOL, Maarten, "Adaptive agents in a persistent shout double auction", Proceedings of the First International Conference on Information and Computation Economics, October 25-28, 1998, Charleston, US.	
HT	RESNICK, Paul; ZECKHAUSER, Richard; FRIEDMAN, Eric; KUWABARA, Ko, "Reputation Systems", Association for Computing Machinery, <u>Communications of the ACM</u> , vol. 43, no. 12, pp 45-48 ((Dialog	
HT	MEADE, Jim, visual 360: a performance appraisal system that's "fun"., <u>HR Magazine</u> , July, 1999 (Dialog file).	

Examiner Signature	<u>Handman</u>	Date Considered	02/20/03
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HT	International Search Report - PCT/US01/12398 - August 27, 2001	

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## FOREIGN PATENT DOCUMENTS

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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